

FORMALITIES LETTER



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UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/559,320	04/27/2000	Daniel McCabe	10449-003

20582
 PENNIE & EDMONDS LLP
 1667 K STREET NW
 SUITE 1000
 WASHINGTON, DC 20006



Date Mailed: 07/17/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 820.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
 Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/22/2000 HNDOR1 00000071 161150 09559320

01 FC:105 130.00 CH

10/03/2000 NVILLARI 00000014 161150 09559320

01 FC:101 690.00 CH

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PATENT

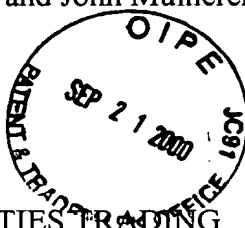
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Daniel McCabe and John Mulheren

Application No.: 09/559,320

Filed: April 27, 2000

For: DERIVATIVE SECURITIES TRADING
PRODUCT UTILIZING SUBSETS OF
INDICES OR PORTFOLIOS



Group Art Unit: 2768

Examiner: Not yet assigned

Attorney Docket No.: 10449-003

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Assistant Commissioner of Patents
Box Missing Parts
Washington, D.C. 20231

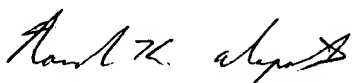
Sir:

In response to the Notice to File Missing Parts of Application, mailed July 17, 2000, a copy of which is attached, Applicants herewith submit the *executed* Declaration, the filing fee believed to be \$690.00 and the surcharge of \$130.00, for a total of \$820.00.

Please charge the required fees, believed to total \$820.00 to Pennie and Edmonds LLP's Deposit Account no. 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,

Date September 21, 2000



For: Nanda K. Alapati Reg. No. 39,893
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Enclosure